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**PATENT**

Docket No. UC00-275-2



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: DOMINIC W. MASSARO; MICHAEL M. COHEN; JONAS BESKOW  
Serial No.: 09/960,248  
Filed: SEPTEMBER 20, 2001  
For: VISUAL DISPLAY METHODS FOR USE IN COMPUTER-ANIMATED SPEECH  
PRODUCTION MODELS  
Group:  
Examiner:

**ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231**

**INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. ☒ Preliminary Statements
2. ☒ FORM PTO-1449 (Modified)
3. ☐ Statement As To Information Material To Examination Not Found In Patents Or Publications
4. ☐ Identification Of Prior Application In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted
5. ☐ Cumulative Patents or Publications
6. ☒ Copies of Listed Information Items Accompanying This Statement
7. ☒ Concise Explanation of Non-English Language Listed Information Items
8. ☐ Translation(s) of Non-English Language Documents
9. ☒ Identification of Person(s) Making This Information Disclosure Statement

## **Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

**Section 2.     PTO Form 1449 (modified)**

**FORM 1449 IS BEING SUBMITTED HERewith IN   1   PAGE(S).**

**Section 3. Statement As To Information Material To Examination Not Found In Patents Or Publications (Information not listed in PTO-1449)**

**Section 4. Identification of Prior Application in Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted**

Note: "A copy of any patent, publication or other information listed in an information disclosure statement is not required to be provided if it was previously cited by or submitted to the office in a prior application, provided that the prior application is properly identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120." 37 CFR 1.98(d).

WARNING: While a copy of a non-English language item of information need not be submitted if its was previously submitted to or cited by the Office in a prior application, provided it is properly identified in this statement and this application relies on that earlier filing date under 35 U.S.C. 120, nevertheless, the requirement in § 1.98(a)(3) for a concise explanation of non-English language information **would not** be satisfied by a statement that a reference was cited in the prosecution of a parent application. The concise explanation must explain the relevance as presently understood by the person designated in § 1.56(c) most knowledgeable about the content of the information. Notice of January 9, 1992, 1135 O.G. 13-25, at 20.

## Section 5. Cumulative Patents or Publications

NOTE: "When the disclosure of two or more patents or publications listed in an information disclosure statement are substantially cumulative, a copy of one of the patents or publications may be submitted without copies of the other patents or publications provided that a statement is made that these other patents or publications are cumulative." 37 CFR 1.98(c).

### STATEMENT

\_\_\_\_\_ is cumulative of the following patents or publications listed on Form PTO-1449  
(modified):

In accordance with 37 CFR 1.98(c) a copy of only \_\_\_\_\_ is being submitted with this information disclosure statement.

## **Section 6. Copies of Listed Information Items Accompanying This Statement**

NOTE: 37 CFR 1.98(a)(2) requires that any information disclosure statement filed under § 1.97 shall include: "A legible copy of: (i) Each U.S. and foreign patent; (ii) Each publication or that portion which caused it to be listed; and (iii) All other information or that portion which caused it to be listed, except that no copy of a U.S. patent application need be included ..."

NOTE: The wording in § 1.98(a)(2)(iii) makes it clear that the requirement to submit a copy of each item of information listed in an information disclosure statement does not apply to the citation of a U.S. patent application. Notice of January 9, 1992, 1135 O.G. 13-25, at 14.

Legible copies of **all** items listed accompany this information disclosure statement.

\_\_\_ **Exception(s) to above**

\_\_\_ **Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.**

\_\_\_ **Cumulative patents or publications identified in Section 5.**

**It is respectfully stipulated, however, that none of these references teach or render obvious, singly or when considered in combination, applicant's claimed invention. This citation does not constitute an admission that the references are relevant or material to the claims nor that a search has been made; the references are cited only as constituting the closest art of which the applicant is aware.**

## **Section 7. Concise Explanation of Non-English Language Listed Information Items**

NOTE: "A concise explanation of the relevance, as it is presently understood by the individual designated in § 1.56(c) most knowledgeable about the information of each patent, publication, or other information listed that is not in the English language **shall** be included in any information disclosure statement filed under § 1.97. "The concise explanation may be either separate from the specification or incorporated therein." 37 CFR 1.98(a)(3).

NOTE: "[T]he explanation required is limited to the relevance as understood by the individual designated in § 1.56(c) most knowledgeable about the content of the information at the time the information is submitted to the Office." Notice of January 9, 1992, 1136 O.G. 13-25, at 14.

NOTE: "Where the information listed is not in the English language, but was cited in a search report by a foreign patent office, the requirement for a concise explanation of relevance is satisfied by submitting an English language version of the search report." Notice of January 9, 1992, 1136 O.G. 13-25, at 14.

NOTE: "The concise explanation requirement for non-English language information may be met by submission of an English language version of the search report indicating the degree of relevance found by the foreign office." Notice of January 9, 1992, 1136 O.G. 13-25, at 20.

WARNING: "The requirement in §1.98(a)(3) for a concise explanation of non-English information **would not** be satisfied by a statement that a reference was cited in the prosecution of a parent application." Notice of January 9, 1992, 1136 O.G. 13-25, at 20 (emphasis added).

**Le Goff, "Synthesis from the Text Face 3D Speaking French," Doctorate Thesis, 22 October 1997, describes a method of constructing and adapting support visualization and modifications to face and tongue in order to adapt it to his needs.**



## Section 8. Translation(s) of Non-English Language Documents

NOTE: "If a written English language translation of a non-English language document, or portion thereof, is within the possession, custody or control of, or is readily available to any individual designated in § 1.56(c), a copy of the translation shall accompany the statement." 37 CFR 1.98(c).

NOTE: "The Office does not intend to require translations unless they have been reduced to writing and are actually translations of what is contained in non-English language information. Applicants should note, however, that most examiners do not have the ability to understand information which is not English and the that Office will not routinely translate information submitted in a non-English language. The examiner will consider the information insofar as it is understood on its face, e.g., drawings, chemical formulas, English-language abstracts, but will not have the information translated unless it appears to be necessary to do so. Applicants are required to aid the examiner by complying with the requirements of a concise explanation in § 1.98(a)(3) for information submitted in a non-English language." Notice of January 9, 1992, 1135 O.G. 13-25, at 21.

☒ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith.

☐ Submitted herewith is an English language translation of the following foreign patents, publications or information or of those portions of those patents, publications or information considered to be material:

**Section 9. Identification of Person(s) Making This INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the attorney who signs below on the basis of:

\_\_\_\_\_ the information supplied by the inventor(s)

X the information in the attorney's file

Dated:

2/25/02

Reg. No.:

33,201

Tel. No.:

(916) 498-1010

  
SIGNATURE OF ATTORNEY

John P. O'Banion  
O'BANION & RITCHEY LLP  
400 Capitol Mall, Suite 1550  
Sacramento, CA 95814

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

ATTY DOCKET NO.

UC00-275-2

SERIAL NO.

09/960,248

MASSARO, DOMINIC ET AL.

FILING

SEPTEMBER 20, 2001

GROUP

2644

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,884,972	12/1989	Gasper			
	5,613,056	05/1997	Gasper et al.			
	5,630,017	05/1997	Gasper et al.			
	5,689,618	11/1997	Gasper et al.			
	5,826,234	10/1998	Lyberg			
	5,880,788	03/1999	Bregler			
	5,907,351	05/1999	Chen et al.			
	5,933,151	08/1999	Jayant et al.			
	5,963,217	10/1999	Grayson et al.			
	5,969,721	10/1999	Chen et al.			
	5,982,389	11/1999	Guenter et al.			

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

# **INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

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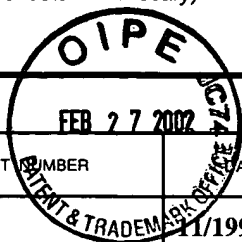
MASSARO, DOMINIC ET AL.

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GROUP

2644



## **U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,982,390	11/1999	Stoneking et al.			
	5,990,878	11/1999	Ikeda et al.			
	6,067,095	05/2000	Danieli			
	6,108,012	08/2000	Naruki et al.			

## **FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

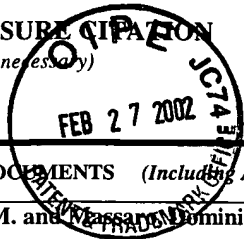
## **OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**


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(Use several sheets if necessary)



Docket Number (Optional)

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Application Number

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Applicant(s)

MASSARO, DOMINIC ET AL.

Filing Date

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Group Art Unit

2644

\*EXAMINER  
INITIAL

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Cohen, Michael M. and Massaro, Dominic W.; "MODELING COARTICULATION IN SYNTHETIC VISUAL SPEECH," Models and Techniques in Computer Animation, N.M. Thalmann and D. Thalmann (eds.); pp. 139 thru 155, Springer-Verlag, Tokyo, 1993.

Garland, Michael and Heckbert, Paul S.; "SURFACE SIMPLIFICATION USING QUADRIC ERROR METRICS," Carnegie Mellon University; pp. 1 thru 8; <http://www.cs.cmu.edu>; SIGGRAPH, 1997.

Westbury, John R.; "X-RAY MICROBEAM SPEECH PRODUCTION DATABASE USER'S HANDBOOK," Waisman Center on Mental Retardation & Human Development, Cover Page, Table of Contents and Foreward Page, pp. 1 thru 131, June, 1994.

Cole, Ron et al.; "INTELLIGENT ANIMATED AGENTS FOR INTERACTIVE LANGUAGE TRAINING," Proceedings of Speech Technology in Language Learning, pp. 1 thru 4, Stockholm, Sweden, 1998.

Stone, Maureen and Lundberg, Andrew; "THREE-DIMENSIONAL TONGUE SURFACE SHAPES OF ENGLISH CONSONANTS AND VOWELS," Journal of American Acoustical Society, pp. 3728- 3737, Vol. 99, No. 6, June, 1996.

Munhall, K.G. et al., "X-RAY FILM DATABASE FOR SPEECH RESEARCH," Journal of American Acoustical Society, pp. 1222-1224, Vol. 98, No. 2, Part 1, August, 1995.

Le Goff, Bertrand, "SYNTHESE A PARTIR DU TEXTE DE VISAGE 3D PARLANT FRANCAIS," Doctorate Thesis, pp. 1 thru 253, 22 October 1997.

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.